

28 CASE MANAGEMENT SYSTEM/TRANSITION AUDIT PROCEDURES

OVERVIEW OF CHAPTER CONTENTS

PRIMARY TOPICS COVERED IN THIS CHAPTER

- Purpose of Audits
- JCI Audit Procedures
- Community Supervision Audit Procedures

FORMS DISCUSSED IN THIS CHAPTER

- Institution Case Management Checklist/Audit (DOC-1981)
- Field Case Management Checklist and Audit (DOC-1979)
- Institution Case Management System/Transition Audit (DOC-1982)

DOC forms can be accessed in MyDOC. When completing a form, the staff member should check to verify that he or she is using the most current version of the form.

PURPOSE OF CASE MANAGEMENT AUDITS

An effective case management system provides youth with programming to facilitate their personal growth while in a JCI and, therefore, enhance their ability to function successfully in the community while continuing to participate in programming. The system also addresses the goal of increasing the safety of the public. DJC is firmly committed to implement the case management system in an effective, efficient and consistent manner throughout the division.

As a way of **ensuring division-wide consistency and quality work** by DJC staff, supervisory staff conduct case audits. Information gathered from the audits provides valuable information regarding the actual implementation of the case management system. Audits enable DJC to make modifications as needed. Additionally, the audit procedures include interviews with youth regarding their understanding of the case management system, specifically their ICP's and transition phase.

JCI AUDITS

PROCEDURES AND REQUIREMENTS

JCI Audit Procedures

The superintendent at each JCI establishes the case file audit process including timetables, number of cases and the case selection procedures. Supervisors conduct audits using the Institution Case Management Checklist/Audit (DOC-1981). The audit team evaluates case files using the Institution Case Management System/Transition Audit (DOC-1982).

Institution Case Management Checklist/Audit (DOC-1981)

- The DOC-1981 may be used for two purposes:
 - ✓ Social worker may use the form in a youth's file to track the completion of his or her job duties throughout the youth's stay at the JCI. The superintendent determines whether social workers are required to maintain the DOC-1981 as a checklist in each youth's file
 - ✓ A supervisor uses the DOC-1981 to conduct a formal case audit on an individual case at any time during the youth's placement at the JCI. The form can be used as a quality control tool, as well as provide written guidance and feedback to staff.
 - * The supervisor reviews the contents of the Social Services file and indicates on the DOC-1981 whether the social worker has completed required tasks and documents in a timely manner.
 - * The supervisor and social worker discusses the results of the audit assessing the strengths and weaknesses, if any, of the social worker's performance.

Institution Case Management System/Transition Audit (DOC-1982)

The superintendent or designee chairs the audit team that reviews individual case files. The superintendent determines the membership of the audit team, timetable for audits, number of cases to audit and case selection procedures. The DOC-1982 provides a vehicle for routinely monitoring case practice and documentation across multi-disciplinary staff at the JCIs. Audits help to assure quality, consistency and integrity of the service delivery process.

- Audit Team Case Selection
 - ✓ Select cases from each unit or cottage at least bi-annually
 - ✓ Provide notice to the cottage/unit of the case to be reviewed for some selected cases
- Audit Procedures
 - ✓ Staff from the youth's cottage/unit including a section manager and/or reintegration social worker, may participate in an audit.

The audit team reviews JJIS and social service file for completeness, timeliness and quality.

- Current ICP (DOC-1907) or COMPAS Case Plan
- Most recent Progress Summary (DOC-1943) or COMPAS Case Plan Update
- Most recent Education Report (DOC-1937 or 1938)
- Chronological Log and number of contacts made by staff

The Team also interviews the youth to assess his/her understanding of:

- What they are working on in living unit, at school, in treatment and in transition
- Their education/lifework plan
- Victim issues and what they are doing to address them
- Transition plan and what is being done to prepare youth

As part of the audit, the team looks specifically at transition:

- That all related documentation has been completed
- That everyone knows youth is in transition and what is taking place during that time
- Program Markers have been completed, with school and a youth's special education needs being accounted for
- Transition team meeting scheduled and held, community providers and/or alternate care providers involved
- Contacts with family are being made and social worker has increased contact with youth

The team shares the results of the audit with the manager and social worker, noting areas that have been accomplished well and those needing attention.

COMMUNITY SUPERVISION (FIELD) AUDITS

OVERVIEW

Agents have multiple complex case management responsibilities during the youth's placement in the JCI and in the community. The Field Case Management Checklist and Audit (DOC-1979) assists agents in maintaining up-to-date and complete records regarding each youth. It also provides a mechanism for supervisors to use when auditing a case.

AGENT RESPONSIBILITIES

Agents complete the non-shaded portion of the document. The DOC-1979 provides a format for the agent to use to track cases while the youth is in a JCI as well as on community supervision. Agents will not complete all the forms or tasks for each youth. As an agent completes a form or task, the agent enters the date and his or her name. If an item is not required for a particular youth, the agent notes that on the DOC-1979 in the "N/A" column. The DOC-1979 is maintained in the youth's file.

SUPERVISOR RESPONSIBILITIES: CASE FILE DOCUMENTS

The DOC-1979 form allows for formal audits to be performed at any point during the youth's commitment. Additionally, it can serve as a quick reference when supervisors and agents staff cases outside of the formal audit process.

To conduct an audit, the supervisor uses a copy of the DOC-1979 that the agent has completed. The supervisor reviews the file and completes the last two columns of the form (timely, comments). Only the DOC-1979 with the agent's portion completed remains in the youth's file. A copy of the completed audit (shaded portion completed by supervisor) is not placed in the youth's file.

When conducting the audit, the supervisor focuses on timeliness and accurate completion of tasks, contact standards and overall compliance with policies and procedures of the Manual. Upon completion of the audit, the supervisor and agent discuss the results. Supervisors forward a copy of all field audits to the regional chief pursuant to the schedule established by the regional chief.

SUPERVISOR RESPONSIBILITIES: CONTACT STANDARDS

When auditing a case file, the supervisor **reviews the agent's record keeping regarding the agent**

contacts with the youth, family, facilities, schools, employers and community services sites. The minimum contact standards are described below. The supervisor completes the Part 2 of the DOC-1979, Agent Contacts Audit.

RESPONSIBILITIES OF REGIONAL CHIEF

The regional chief determines field audit requirements including time frames, number of cases to be audited, case selection process, and the method supervisors use to submit completed DOC-1979's. A supervisor must audit a minimum of **2 cases per year for each agent not on probation**. The regional chief makes available to the assistant administrator, upon request, copies of the field audits.

MINIMUM AGENT CONTACT STANDARDS

Agents must meet the required minimum contact standards listed below. Supervisors monitor compliance by agents with the contact standards. For sex offenders, contacts cannot be waived due to workload. A face to face contact requires actual interaction with the person being contacted.

An agent may complete and submit to her or his supervisor a Contact Standard Amendment (DOC-2128) if the agent wants to modify the required minimum contact standards. The supervisor may or may not approve the agent's request.

All tables refer to standards that must be met by agents except for the 3rd table that covers youth counselors working with YCSP youth.

YOUTH IN A JCI -		
Person(s) to Contact	Nature of Contact	Frequency of Contact
Youth	Face-to-face	One time every 3 months
Parent/Guardian	Face-to-face or telephone	One time every 2 months
JCI Staff	Face-to-face or telephone	One time every 2 months

YCSP YOUTH		
Person(s) to Contact	Nature of Contact	Frequency of Contact
Youth	Face-to-face	One time per week or per level if no Youth Counselor in unit
Parent/Guardian	Face-to-face	One time every other week
School Staff	Face-to-face	One time per month
Employer and/or Community Services site	Face-to-face	One time per month

YCSP YOUTH (MINIMUM YOUTH COUNSELOR CONTACTS)		
Person(s) to Contact	Nature of Contact	Frequency of Contact
Youth	Face-to-face	Level 1: daily Level 2: 4 times per week Level 3: 2 times per week Level 4: 0 time per week
Parent/Guardian	Face-to-face	One time every other week
School Staff	Face-to-face	One time per week
Employer and/or Community Services site	Face-to-face	Two times per month

YOUTH RESIDING IN A TYPE 2 RCC		
Person(s) to Contact	Nature of Contact	Frequency of Contact
Youth	Face-to-face	One time per month
Parent/Guardian	Face-to-face or telephone	One time every 2 months
RCC Staff	Face-to-face or telephone	One time per month

SJO YOUTH AND SEX OFFENDERS RESIDING IN PARENT/GUARDIAN HOME, FOSTER HOME OR INDEPENDENT LIVING (NOT IN CSP)		
Person(s) to Contact	Nature of Contact	Frequency of Contact
Youth	Face-to-face	One time per week
Parent/Guardian	Face-to-face/telephone	One time per week (no contact with parent if youth is living independently)
School Staff	Face-to-face	One time per month
Employer and/or Community Services site	Face-to-face/telephone	One time per month

SJO YOUTH AND SEX OFFENDERS LIVING IN GROUP HOME OR RESIDENTIAL CARE CENTER (NOT IN CSP)		
Person(s) to Contact	Nature of Contact	Frequency of Contact
Youth	Face-to-face	Two times per month
Parent/Guardian	Face-to-face or telephone	One time per week
School Staff	Face-to-face or telephone	Two times per month
Employer and/or Community Services site	Face-to-face	Two times per month

YOUTH ON AFTERCARE LIVING IN OWN HOME, FOSTER HOME OR INDEPENDENT LIVING (NON SEX OFFENDERS)		
Person(s) to Contact	Nature of Contact	Frequency of Contact
Youth	Face-to-face	One time per week
Parent/Guardian	Face-to-face or telephone	One time every other week (No contact if youth on Independent living)
School Staff	Face-to-face or telephone	Two times per month
Employer and/or Community Services site	Face-to-face or telephone	One time per month

YOUTH ON AFTERCARE LIVING IN A GROUP HOME OR RESIDENTIAL CARE CENTER (NON SEX OFFENDERS)		
Person(s) to Contact	Nature of Contact	Frequency of Contact
Youth	Face-to-face	Two times per month
Parent/Guardian	Face-to-face or telephone	One time every other month
Facility Staff	Face-to-face or telephone	Two times per month